

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of info unless it contains a valid OMB control number.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known	
		Application Number	10/645,989
		Filing Date	August 22, 2003
		First Named Inventor	William E. Sobel
		Group Art Unit	2161
		Examiner Name	Safet Metjahic
Sheet 1 of 4	Attorney Docket Number	44420423-8016	

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
UL		5,398,196	3/14/1995	Chambers	
UL		5,452,442	9/19/1995	Kephart	
YH		5,572,590	11/5/1996	Chess	
YH		5,675,710	10/7/1997	Lewis	
YH		5,826,249	10/20/1998	Skeirik	
YH		5,832,208	11/3/1998	Chen et al.	
YH		5,854,916	12/29/1998	Nachenberg	
YH		5,974,549	10/26/1999	Golan	
YH		6,021,510	2/1/2000	Nachenberg	
YH		6,023,723	2/8/2000	McCormick et al.	
YH		6,052,709	4/18/2000	Paul	
YH		6,072,942	6/6/2000	Stockwell et al.	
YH		6,092,194	7/18/2000	Touboul	
YH		6,094,731	7/25/2000	Waldin, et al.	
YH		6,161,130	12/12/2000	Horvitz et al.	
YH		6,167,434	12/26/2000	Pang	
YH		6,253,169	6/26/2001	Apte et al.	
YH		6,298,351	10/2/200	Castelli et al.	
YH		6,347,310	2/12/2002	Passera	
YH		6,370,526	4/9/2002	Agrawal, et al.	
YH		6,397,200	5/28/2002	Lynch, et al.	
YH		6,397,215	5/28/2002	Kreulen, et al.	
YH		6,421,709	7/16/2002	McCormick et al.	
YH		6,424,960	7/23/2002	Lee et al.	
YH		6,442,606	8/27/2002	Subbaroyan, et al.	
YH		6,456,991	9/24/2002	Srinivasa et al.	
YH		6,493,007	12/10/2002	Pang	
YH		6,502,082	12/31/2002	Toyama et al.	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.
27192333V-1

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>			Complete if Known		
			Application Number	10/645,989	
			Filing Date	August 22, 2003	
			First Named Inventor	William E. Sobel	
			Group Art Unit	2161	
Examiner Name	Safet Meljahic				
Attorney Docket Number	44420423-8016				
Sheet	2	of	4		

6,505,167	1/7/2003	Horvitz et al.	
US 2002/0035693 A1	3/21/2002	Eyres, et al.	
US 2002/0038308 A1	3/28/2002	Cappi	
US 2002/0073046 A1	6/13/2002	David	
US 2002/0087649 A1	7/4/2002	Horvitz	
US 2002/0138525 A1	9/26/2002	Karadimitriou et al.	
US 2002/0147694 A1	10/10/2002	Dempsey et al.	
US 2002/0147782 A1	10/10/2002	Dimitrova et al.	
US 2002/0178375 A1	11/28/2002	Whittaker, et al.	
US 2002/0194488 A1	12/19/2002	Cormack, et al.	
US 2002/0199186 A1	12/26/2002	Ali et al.	
US 2002/0199194 A1	12/26/2002	Ali	
US 2003/0033587 A1	2/13/2003	Ferguson et al.	
US 2003/0115458 A1	6/19/2003	Song	
US 2003/0115479 A1	6/19/2003	Edwards, et al.	
US 2004/0039921 A1	2/26/2004	Chuang, Shyne-Song	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ²
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
fl		EP 1408393 A2	4/14/2004	Symantec Corp.		
fl		EP 0636977 A2	2/1/1995	Chambers, David		
fl		WO 02/33525 A2	4/25/2002	Chuang, Shyne-Song		
fl		WO 93/25024 A1	12/9/1993	Cyberlock Data Intelligence Inc.		
fl		WO 99/15966 A1	4/1/1999	Symantec Corp.		
fl		WO 00/28420 A2	5/18/2000	Symantec Corp.		
						<input type="checkbox"/>

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Complete if Known		
			Application Number	10/645,989	
			Filing Date	August 22, 2003	
			First Named Inventor	William E. Sobel	
			Group Art Unit	2161	
Examiner Name	Safet Metjahic				
Sheet	3	of	4	Attorney Docket Number	44420423-8016

OTHER ITEMS - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	CiteNo. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
ju		BURCHELL, Jonathan, "NetShield 1.5", Virus Bulletin, August 1994, pp 21-23, XP 000617453.	
lu		MORAR, J. E. and Chess, D. M., "Can Cryptography Prevent Computer Viruses?", Virus Bulletin Conference 2000, September 2000, pp. 127-138, Virus Bulletin Ltd., Oxfordshire, England.	
lu		Wikipedia.org web pages [online], Wikipedia, [retrieved 3/17/2003] Retrieved from the Internet: <URL: http://www.wikipedia.org/w/wiki.phintl?title=machine learning and printable=yes >.	
lu		Outlook.spambully.com web pages [online] Spam Bully [retrieved 1/16/2003] Copyright 2002, Retrieved from the Internet <URL: http://outlook.spambully.com/about.php >.	
lu		"Enterprise Protection Strategy" [online] Trend Micro Inc. [retrieved 12/03/2002] Retrieved from the Internet: <URL: http://www.trendmicro.com/en/products/eps/features.htm >.	
lu		"How to Test Outbreak Commander", :Trend Micro Inc., August 2002, pp 1-13, Cupertino, CA.	
lu		CHOI, Yang-Seo, et al., "A New Stack Buffer Overflow Hacking Defense Technique with Memory Address Confirmation", Lecture Notes in Computer Science 2288, 2002, pp. 146-159, Springer Verlag, Berlin and Heidelberg, Germany.	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of info unless it contains a valid OMB control number.

Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>			Complete if Known		
			Application Number	10/645,989	
			Filing Date	August 22, 2003	
			First Named Inventor	William E. Sobel	
			Group Art Unit	2161	
			Examiner Name	Safet Metjahic	
Sheet	4	of	4	Attorney Docket Number	44420423-8016

fu	CHEW, MONICA and Dawn Song, "Mitigating Buffer Overflows by Operating System Randomization", December 2000, pp. 1-9, U.C. Berkeley, CA USA.
fu	BOLOSKY, W., Corbin, S., Goebel, D., and Douceur, J., "Single Instance Storage in Windows 2000", Microsoft Research, Balder Technology Group, Inc., [online] [retrieved 10/11/2002] Retrieved from the Internet <URL: http://research.microsoft.com/sn/farsite/wss2000.pdf >.
fu	BONTCHEV, Vesselin, "Possible Macro Virus Attacks and How to Prevent Them", Computer & Security, Vol. 15, No. 7, pp 595-626, 1996.

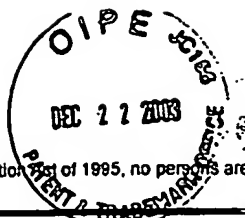
Examiner Signature	<i>Safet Metjahic</i>	Date Considered	3/2/2006
--------------------	-----------------------	-----------------	----------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

27192353V-1



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT****Complete if Known**

Application No.	10/645,989
Filing Date	August 22, 2003
First Named Inventor	William E. Sobel
Art Unit	2171
Examiner Name	Unknown
Attorney Docket Number	20423-08016

Sheet

1

of

1

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document No. Number - Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶

OTHER REFERENCES - NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ⁶
<i>js</i>		PARKHOUSE, JAYNE, "Pelican SafeTNet 2.0" [online], June 2000, SC Magazine Product Review, [retrieved on December 1, 2003]. Retrieved from the Internet: <URL: http://www.scmagazine.com/scmagazine/standalone/pelican/sc_pelican.html .	

Examiner Signature	<i>Paul /h</i>	Date Considered	3/2/2006
-----------------------	----------------	--------------------	----------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

20423/08016/DOCS/1399900.1